

**U.S. EPA REGION 6 GUIDANCE FOR SUBMITTING  
PRE-PROPOSALS FOR POLLUTION PREVENTION FY 1999  
GRANT/COOPERATIVE AGREEMENT FUNDS  
( PROGRAM 2 )**

**ELIGIBLE ORGANIZATIONS:** Local governments, private universities, and private non-profits within EPA Region 6 jurisdiction. Also the states of Arkansas, Louisiana, Oklahoma, New Mexico, and Texas, any federally recognized Indian Tribe, and any agency or instrumentality of a state including state universities within EPA Region 6.

**PRE-PROPOSALS DUE JANUARY 8, 1999**

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I. INTRODUCTION

EPA Region 6 is announcing the availability of funds in FY 99 through the Pollution Prevention program. This guidance outlines eligible organizations, regional evaluation criteria, and general procedures for application and award of FY 99 multi-media pollution prevention grants and cooperative agreements through this program.

This program is open to all applicants in Region 6. The Region may award approximately \$190,00 in grant/cooperative agreement funds through a competitive review process.

This funding opportunity supports States, Tribal, Territory and regional-based programs that address the reduction or elimination of pollution across all environmental media: air, land, and water.

II. ELIGIBLE ORGANIZATIONS

Applicants in EPA Region 6 eligible for funding under this program include the States of Arkansas, Louisiana, Oklahoma, New Mexico, and Texas, any federally recognized Indian Tribes, local governments, private universities, and private non-profits within EPA Region 6 jurisdiction. All eligible applicants will generally be referred to as "applicants" throughout the rest of this guidance.

III. ELIGIBLE ACTIVITIES

The Pollution Prevention grant program supports the establishment and expansion of pollution prevention programs and the testing of innovative pollution prevention approaches and methodologies. Proposals accepted for review under this program must qualify as pollution prevention. Funds awarded must be used for programs that address the transfer of pollutants across all environmental media: air, land, and water.

Applicants seeking funding for this program may wish to focus on one or more of the following:

- Developing multimedia pollution prevention activities, including but not limited to: Providing direct technical assistance to businesses; collecting and analyzing data to target outreach and technical assistance opportunities; conducting outreach activities; developing measures to determine progress in pollution prevention; addressing regulatory and non-regulatory barriers to pollution prevention; and implementing voluntary and incentive-based programs to encourage pollution prevention.
- Developing partnerships with one or more business or environmental assistance providers to further pollution prevention sustainability efforts.
- Initiating demonstration projects for innovative pollution prevention technologies and techniques.
- Pollution prevention technical assistance in geographic areas not currently serviced by such programs or for economic sectors (e.g., agriculture, consumers, energy, transportation) not currently serviced by such programs.
- Programs that encourage pollution prevention through linkages with non-regulatory programs not typically within environmental regulatory agencies (e.g., business retention/economic development programs or utility technical assistance/rebate programs).
- Establishing pollution prevention programs using lessons learned through existing pollution prevention pilot projects and building on existing pollution prevention efforts within the State.
- Establishing a pollution prevention technical resource center that can service Region 6 or specific geographic regions within a Region 6 State. Such a center could include technical experts available for over-the-phone and/or on site technical assistance.

Individual awards may be for any amount up to the amount available. Last year, the average grant award was \$30,000. Organizations receiving pollution prevention grant funds are required to match Federal funds at a minimum of 5%, so that Federal funding for the project does not exceed 95% of the allowable project cost. For example, a grant request for \$95,000 must be matched by a contribution of no less than \$5,000 for a total project cost of \$100,000. Matching contributions may be through dollars and/or in-kind goods and services. Grant funds are initially allocated for a two-year period. Extension to a third year can be requested.

## V. SELECTION PROCESS

EPA Region 6 will be awarding grants through a competitive process in which an EPA Region 6 panel will review and rank the applications. EPA Region 6 recognizes that substantial differences exist between States and Tribes. To provide an equitable evaluation of proposals, EPA Region 6 will rank applications from tribes separately from state applications. However, funds will not be pre-apportioned between the two applicant pools through an allocation formula or set-aside.

Two copies of each pre-proposal must be received at EPA Region 6 by 4 p.m. on January 8, 1999 to be eligible. Pre-proposals must be submitted to:

U.S. Environmental Protection Agency  
Office of planning and Coordination (6EN-XP)  
Attention: Eli Martinez/Pollution Prevention Coordinator  
1445 Ross Avenue, Suite 1200  
Dallas, TX 75202-2733

Region 6 will complete funding recommendations and award funds before September 30, 1999. The total number of grants awarded will be determined by the size of the grant requests and the amount of the grant funds available.

## VI. APPLICATION FORMAT

Project proposals can be submitted in a pre-proposal format (see 1-10 next page). Before February 12, 1999, after the selection process, applicants whose pre-proposals are recommended for funding will be notified to prepare the entire application. Complete information is included in the application kit that will be mailed to applicants whose pre-proposals are recommended for funding.

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Project pre-proposals must be between 1 and 10 pages long, using 10 characters per inch typeface and single spaced pages with 1" margins all around. Pre-proposals must include the following information:

1. Lead Agency - The agency applying for the grant funds and Key contact(s)
2. Other involved Agencies - (if any) and key contacts.
3. Background - This section should include a statement of the problems or issues that the project will address and the current status of pollution prevention activities in the State.
4. Summary of Project - This section should include the project strategy, goals and objectives and should clearly address the evaluation criteria identified in Section VII of this guidance.
5. Specification of Tasks and Deliverables - This section should specify tasks that will be completed to achieve project objectives and identify specific documents which will be completed and submitted to EPA Region 6.
6. Level of Funding Requested - This section should indicate both the amount of Federal funds requested and the percentage of the total project cost that will be funded with Federal dollars.
7. Matching Resources for Project - Requested Federal money must be matched by at a minimum of 5 percent level of funds and/or in-kind goods and services. This section should indicate the total matching contribution of all project participants.
8. Schedule for Implementation - This section should summarize the project tasks and deliverables and their projected completion dates.
9. Status Reports - This section should provide a projected schedule for reporting on a quarterly basis the status of the project.
10. Draft Standard Form 424 (SF 424) "Application for Federal Assistance" and SF 424A "Budget Information." Refer to sample forms SF 424 and SF 424A in packet for appropriate blocks to complete at this pre-proposal stage.

Upon notification of recommendation for funding, selected applicants will be asked to submit a complete standard application to also include:

1. Statement of Experience/Capability - This section should include resumes or background statements for key project personnel and a description of the project participants' capabilities and experience as it relates to the proposed project.
2. Completed Standard Application Form 424 and 424A - These are included in the application package as the document entitled "Application Kit for Assistance." These kits will be provided to those applicants of proposals recommended for funding.

## **VII. Evaluation Criteria**

EPA Region 6 will score applications on a 100-point scale. A description of each evaluation criterion and its scoring weight is indicated below.

1. The application presents a clear description of priority environmental problems or issues which the project will address. The application should explain why the problems or issues identified are a priority for the State. Connecting proposed work to efforts such as whole-resource-based planning (e.g., Comprehensive State Groundwater Protection Plan development), Environmental Justice, State strategic planning, or comparative risk effort are encouraged. **Weight: 15 points.**
2. The application specifies realistic goals and objectives that deal with the environmental problems or issues identified in the application. The application includes a well-conceived strategy to achieve those goals and objectives. **Weight: 15 points.**
3. The project effectively and efficiently addresses the reduction of pollutants across all environmental media: air, water and land. The project takes advantage of existing cross-media efforts or establishes cross-media and/or cross-agency working relationships where such relationships enhance the capability of the program. **Weight: 15 points.**

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4. The project builds State pollution prevention capabilities or tests innovative pollution prevention technologies or methods. The proposal identifies plans for long-term implementation of a multi-media pollution prevention program beyond the initial funding period. **Weight: 15 points.**
5. The project makes effective use of the requested Federal grant funds. Federal grant dollars are strongly leveraged. This may include building on

existing pollution prevention activities or other programs or organizations within the State. Federal funds requested are used judiciously. Applications with higher than the required 5% match are encouraged.

**Weight: 15 points.**

6. The project has a high likelihood of success. Project participants are well qualified to conduct the proposed project and have a demonstrated record of success in their previous work in pollution prevention and /or related areas. Senior management within the applicant organization and other participating organizations are committed to the project and will monitor project progress. **Weight 15 points.**
7. The project contains clear measures of success. Measures of success should be either measures of environmental improvement, or directly linked to such measures. For example, projects could be evaluated in terms of changes during the project in emissions levels or waste generation rates as reported in the Toxics Release Inventory, RCRA Biennial Reports, and other environmental databases; changes in influent and effluent concentrations to and from POTWs; air quality sampling and other environmental measures. Expanded measures of success that include measures of economic health are encouraged. **Weight: 10 points.**

## **VIII. FOR MORE INFORMATION**

For more information, questions about this guidance, or the FY 99 PPIS Grant program in Region 6, please contact EPA Region 6, Office of Planning and Coordination, Pollution Prevention Coordinator: Eli Martinez at (214)665-2119, fax (214)665-7446.